


TRANSMITTAL LETTER OF THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		Attorney Docket No. 8002-1001
		U.S. Application No. 10/070249
INTERNATIONAL APPLN. NO. PCT/JP00/05561	INTERNATIONAL FILING DATE 18 AUGUST 2000	PRIORITY DATE CLAIMED 3 SEPTEMBER 1999
TITLE OF INVENTION: PROCESS FOR THE PREPARATION OF TRICYCLIC AMINO ALCOHOL DERIVATIVES		
APPLICANT(S) FOR DE/EO/US: KOKI MATSUBARA, NAOYUKI ISHII AND MASAMI OGAWA		
Applicant herewith submits to the United States Designated Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau) b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. See attached PCT/IB/308. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)) <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made, however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). 		
Items 11 to 20 below concern document(s) or information included:		
<ol style="list-style-type: none"> 11. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS) w/PTO-1449 - <input type="checkbox"/> Copy of IDS citations 12. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) 13. <input checked="" type="checkbox"/> A FIRST Preliminary Amendment. 14. <input type="checkbox"/> A SECOND or SUBSEQUENT Preliminary Amendment. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A change of power of attorney and/or address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application (35 U.S.C. 154(d)(4)). 20. <input checked="" type="checkbox"/> Other items or information: Application Data Sheet, Abstract on a separate sheet, PCT Request (PCT/RO/101), form PCT/IB/308, Cover pages of International Publication No. WO 01/17962, form PCT/IPEA/409 		

U.S. APPLICATION NO. 10/070249		INTERNATIONAL APPLN. NO. PCT/JP00/05561		ATTORNEY DOCKET NO. 8002-1001																																																		
21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1)-(5): Neither international preliminary examination fee nor international search fee paid to USPTO and international Search Report not prepared by the EPO or JPO\$1040.00 International preliminary examination fee not paid to USPTO but International Search Report prepared by the EPO or JPO\$890.00 International preliminary examination fee not paid to USPTO but International search fee paid to USPTO\$740.00 International preliminary examination fee paid to USPTO but all claims did not satisfy provision of PCT Article 33 (1)-(4).....\$710.00 International preliminary examination fee paid to USPTO and all claims satisfied provision of PCT Article 33 (1)-(4).....\$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT Surcharge of \$130.00 for furnishing the oath or declaration than <input type="checkbox"/> 20- <input type="checkbox"/> 30 Months from the earliest claimed priority date (37 CFR 1.492(e)) <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:20%;">CLAIMS</th> <th style="width:20%;">NUMBER FILED</th> <th style="width:20%;">NUMBER EXTRA</th> <th style="width:20%;">RATE</th> <th style="width:20%;"></th> </tr> </thead> <tbody> <tr> <td>Total Claims</td> <td>12 - 20 =</td> <td>0</td> <td>X \$18.00</td> <td>\$</td> </tr> <tr> <td>Independent Claims</td> <td>10 - 3 =</td> <td>7</td> <td>X \$84.00</td> <td>\$ 588.00</td> </tr> <tr> <td colspan="3">MULTIPLE DEPEND CLAIM(S) (if applicable)</td> <td>+ \$280.00</td> <td>\$</td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL OF ABOVE CALCULATION -</td> <td>\$ 1,478.00</td> </tr> </tbody> </table> <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. SUBTOTAL = \$ 1,478.00 Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492Z(f)). TOTAL NATIONAL FEE = \$ 1,478.00 Fee for recording the enclosed assigned (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) \$40.00 per property + TOTAL FEES ENCLOSED - \$ 1,518.00				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		Total Claims	12 - 20 =	0	X \$18.00	\$	Independent Claims	10 - 3 =	7	X \$84.00	\$ 588.00	MULTIPLE DEPEND CLAIM(S) (if applicable)			+ \$280.00	\$	TOTAL OF ABOVE CALCULATION -				\$ 1,478.00	CALCULATIONS PTO USE ONLY <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">\$ 890.00</td> <td style="width:50%;"></td> </tr> <tr> <td>\$</td> <td></td> </tr> <tr> <td>\$</td> <td></td> </tr> <tr> <td>\$ 588.00</td> <td></td> </tr> <tr> <td>\$</td> <td></td> </tr> <tr> <td>\$ 1,478.00</td> <td></td> </tr> <tr> <td>\$</td> <td></td> </tr> <tr> <td>\$ 1,478.00</td> <td></td> </tr> <tr> <td>\$ 40.00</td> <td></td> </tr> <tr> <td>\$ 1,518.00</td> <td></td> </tr> <tr> <td>Amount to be refunded:</td> <td>\$</td> </tr> <tr> <td>Charged:</td> <td>\$</td> </tr> </table>		\$ 890.00		\$		\$		\$ 588.00		\$		\$ 1,478.00		\$		\$ 1,478.00		\$ 40.00		\$ 1,518.00		Amount to be refunded:	\$	Charged:	\$
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<input checked="" type="checkbox"/> A Check in the amount of \$1,518.00 to cover all fees is attached. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to Deposit account No. 25-0120 in the name of Young & Thompson, as described below. A duplicate copy of this sheet is enclosed. <input checked="" type="checkbox"/> The Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 25-0120 for any additional fee required under 37 C.F.R. §§ 1.16 or 1.17.																																																						
SEND ALL CORRESPONDENCE TO: 745 South 23 rd Street Arlington, VA 22202 Telephone (703) 521-2297 Y&T Customer No. 000466  00466 PATENT TRADEMARK OFFICE				SIGNATURE <u>Benoit Castel</u> Benoit Castel NAME 35,041 REGISTRATION NO.																																																		
BC/lmt Date: 4 March 2002																																																						

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PATENT APPLICATION SERIAL NO. _____

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE
FEE RECORD SHEET

03/11/2002 MALI11 00000015 10070249

01 FC:970 890.00 OP
02 FC:964 588.00 OP

03/11/2002 MALI11 00000015 10070249

04 FC:198 60.00 OP

Adjustment date: 05/07/2002 BCAMPBEL
03/11/2002 MALI11 00000015 10070249
04 FC:198 -60.00 OP

Repln. Ref: 05/07/2002 BCAMPBEL 0011562300
DAH:250120 Name/Number:10070249
FC: 704 \$60.00 CR
PTO-1556

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